

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 98-00190

James A. Scruggs, claimant vs. A.S. Goldmen & Co. Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se, Fresno, CA.

For Respondent appeared Carole R. Bernstein, Esq., Norwalk, CT.

DATE FILED: January 14, 1998

CASE SUMMARY: Claimant alleged that respondent failed to execute his sell orders according to his instructions, failed to provide a prospectus and engaged in unethical conduct.

Claim Data

Claim: \$8,448.15
Punitive: \$.00
Costs: \$37.00
Filing Fees: \$150.00

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$75.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondent is liable and shall pay claimant \$75.00 as reimbursement for half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: The Arbitrator denied respondent's Motion to Dismiss.

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AFFIRMATION

I, Robert L. Gorman, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.

Robert L. Gorman
Robert L. Gorman

July 14, 1998

Date of award